

eZ-Audit
Use-Case Specification 2: View Submissions
Version 2.3

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Use-Case Specification 2: View Submissions	Date: 01/22/2004
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Revision History

Date	Version	Description	Author
07/17/2002	1.0	Final version created for 7/17 Deliverable Submission	Cody Winter
08/07/2002	1.1	Revised version created for deliverable re-submission	Bobbi Beach
09/05/02	1.2	Revised version created to incorporate feedback received from stakeholder session	Bobbi Beach
05/20/03	2.0	Revisions throughout to reflect Release 1.0 functionality	Andre Sakaluk
01/16/04	2.1	Revisions made to Special Requirements to reflect new Release 2.0 requirements regarding School Groups and Two-Year Schools	Ben Lopez
01/21/04	2.2	Revision made to link contained in the Institution Home page to reflect Release 2.0 requirements	Kevin Rowland
01/22/04	2.3	Revision made to incorporate requirements outlined in Release 2.0. Specifically pertaining to resubmission options and the notification/viewing of incomplete letters.	Kevin Rowland

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Use-Case Specification 2: View Submissions

1. View Submissions

1.1 Brief Description

This Use Case describes the Institution Actor creating new submissions and viewing archived submissions. This is done through the use of the Institution Home Page and the Historical Submissions Page. In general, the Institution Home Page is where the Institution Actor selects to create all types of new submissions, both annual and non-annual. Once a submission has been made, a read-only copy can be viewed from the Notifications section of the Home Page. Once a new submission period has begun, all prior period submissions are accessed via the Historical Submissions Page.

2. Flow of Events

2.1 Basic Flow

1) System Presents Home Page to Institution Actor

The Home Page contains links to allow the Institutional user to complete their annual submission. It is typical that an institution will only be performing one annual submission at a given time, but in the case where an annual submission is not completed before the next submission period begins, the Institutional Actor may create a submission for more than one Fiscal Year. To accommodate this, the link to create the annual submission will be of the format 'Create your FYE [MM/DD/YYYY] Submission'. Once the submission has been created and submitted, this link will be grayed and the user will be unable to select it.

Non-annual submissions will also be available from the home page. These will include:

- Create Merger/Change in Ownership Submission
- Change Fiscal Year End Date
- Create Waiver Exemption Request Submission
- Create Initial Application Submission
- Create Closeout Audit Submission
- Create Reinstatement Submission
- Create Stub Audit Submission
- Submit Additional Information
-

The Home Page also contains the 'Self Service' area. This is where a variety of notifications are presented to the Institution Actor. These notifications consist of the following:

Status of Annual Submission (one of these three will be presented):

- Before the Annual Submission has been sent, and if the current date is prior to the due date the message will say 'Your FYE MM/DD/YYYY Annual Submission is due on MM/DD/YYYY'.
- After the Annual Submission has been sent and if the current date is after the due date the following message and link will be shown as 'Your FYE MM/DD/YYYY Annual Submission received on MM/DD/YYYY.'

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- The above notification will also be displayed for Member Institutions of School Groups that have completed their portion of the Annual Submission.
- Before the Annual Submission has been sent, and if the current date is after the due date, the message will say 'Your annual submission is overdue'.

If the FAD has been sent to the institution, a notice will appear that says 'Your Final Audit Determination was sent on MM/DD/YY'

If a Request for a Letter of Credit was sent to the institution, one of the following notices will appear:

- A Request for a Letter of Credit has been sent to your institution. The Letter of Credit is due by MM/DD/YY.
- Your Letter of Credit was received on MM/DD/YY.

If a non-annual submission has been made, a notice will appear with a link to the submission. The possible notices are:

- A Merger/Change in Ownership was submitted on MM/DD/YYYY.
- A Reinstatement was submitted on MM/DD/YYYY.
- An Initial Application was submitted on MM/DD/YYYY.
- A Waiver Request was submitted on MM/DD/YYYY.
- A Stub Audit was submitted on MM/DD/YYYY.
- A Change in Fiscal Year End Date was submitted on MM/DD/YYYY.
- A Closeout Audit was submitted on MM/DD/YYYY.

If any submission type was deemed incomplete then the user will be notified in the following format:

- Your FYE MM/DD/YYYY (Type) Submission submitted on MM/DD/YYYY HR:MIN:SEC is incomplete. 'Click here to view the incomplete letter.' (link)

2) User selects 'View Historical Submissions'.

This link is not available if there are no Prior Year Submissions on record.

3) The system presents the Historical Submissions Page.

The Historical Submissions Page contains a record of prior year submissions. The submissions are organized by Fiscal Year. If an institution has submitted multiple times for the same submission (i.e. has re-submitted their annual submission), they will have view access to only the most recently submitted version. All submissions for that fiscal year are links to the information. The non-annual submissions (Change in Ownership, Waiver Request, etc.) are grouped under the fiscal year in which it was submitted. The possible links are:

- Annual
- Merger/Change in Ownership
- Waiver Request
- Initial Application
- Closeout Audit
- Stub Audit
- Reinstatement

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- Change in Fiscal Year End

2.2 Alternative Flows

2.2.1 *More than one Submission Open*

In the rare event that a submission has not been archived before the next one is to start, the home page will accommodate this. A separate link to create the annual submission will be available from the home page for each fiscal year.

There is also a section for each open year in the Self-Service area. These sections will be separated and headed by the Fiscal Year, most recent year on top.

2.2.2 *Previous Submission was determined incomplete*

Step 1 is the same as the Basic Flow

1) **The user views incomplete notification**

If a submission of any type was deemed incomplete the institution will be notified through the notification section of the Institution Home page. The format of the notification is outlined in item 1 of the Basic Flow. The user will be provided a link 'Click here to view the incomplete letter.'

2) **The user selects the option to view the incomplete letter**

The user selects the link 'Click here to view the incomplete letter' found in the notification section of the Institution Home page.

3) **The user views incomplete letter**

The system displays the incomplete letter that is associated with that institution. This procedure allows the user to view its incomplete letter.

3. Special Requirements

3.1 School Groups marked as Two-Year

If an Institution user is submitting for a School Group, either Consolidated or Un-Consolidated, marked "Two-Year," the system will calculate the Due Date for submissions appropriately. Links to complete annual submissions will only appear if it is on the two-year schedule.

3.2 School Group Notifications

If a School is designated as a Locator School of a C/UC School Group, its Home Page will display a notification which will list all Member Schools that have not submitted a Compliance Audit for the current Fiscal Year, after it has completed its own part of the Annual Submission.

3.3 Resubmissions

If an Institution has submitted an incomplete submission for any of the submission types then the user will be given the option for resubmission. This option will be provided to the user via a resubmit link in the left navigation. This link will take on a different form depending on the submission type.

- For annual submissions, the resubmission option provided to the user will be a "Resubmit your FYE [MM/DD/YYYY] Submission" link which would replace the 'Create your FYE [MM/DD/YYYY] Submission' link in the left navigation. This is done because an institution is only allowed to submit one annual submission per fiscal year.
- For all other submission types, the same resubmission link will be used but it will be

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provided along with the create submission option.

4. Preconditions

4.1 User logged in as Institutional User

The user must be logged in as an institutional user for this use case to apply.

4.2 Submission time period must be defined for the institution.

The Institution Home Page is dependent on the submission time period for each institution. The Home Page is designed to present submission information for the current submission time period. Once that submission is complete and archived, it is no longer viewable on the home page and must be accessed as in Steps 2 and 3 of the Basic Flow. When the submission is archived, submission information for the next fiscal year is displayed on the home page. This is the case even if the Fiscal Year has not ended and the institution is not yet allowed to submit.

4.3 Submissions must be on record to be viewed.

For any annual or non-annual submissions to be viewed, they must be present in the eZ-Audit database.

5. Postconditions

As a result of this Use Case specification, the Institution Actor will be able to accomplish one of three postconditions.

5.1 Create Submission

The Institution Actor will be able to create an Annual or Non-Annual submission. This is a link from the Home Page.

5.2 View Current Submission

A current submission has been submitted and is due during the current submission period, regardless of whether or not it has been archived. Each current submission will be a link from the Self-Service Area of the Home Page.

5.3 View Historical Submission

The Institution Actor will be able to view submissions which have been archived in the system. The 'View Historical Submissions' link is located on the Home Page.

6. Requirements

6.1 Requirements in this Use Case

GEN30 The System will support the administration of "read" access rights for Institution Users to their own institution data.

GEN159 The System will post an audit completeness status to the website for the institution to view.

GEN160 The System will post a financial completeness status to the website for the institution to view.

GEN849 The system will prevent institutions from re-submitting a compliance audit after a submission has been received by the department.

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GEN1171 The system will allow institution users to view only the most recent financial statement and compliance audit submission for any fiscal year.

SCH GRP R20302 The system will post a notification to a CUC Locator School INS Home Page upon submit listing any Children who have not yet submitted a Compliance Audit.

SCH GRP R20289 The system will calculate the appropriate Due Date for school groups marked as “Two Year.”

SCH GRP R20315 The system will continue to display annual submission link to a locator until submission is submitted to ED.

SCH GRP R20314 The system will display a “completed” notification for a Member submitting for their own OPEID

R20197 The system will allow a school user to view an “Incomplete Letter Report” for their institution.

R20198 The system will post a Notification to school user telling them that an “Incomplete Letter Report” has been posted for their Institution.

R20209 The system will display “Resubmit” links to an Institution User for all incomplete submissions regardless of submission type.

Acceptance of the Use Case as written will require modification and CCB Review of the Following Requirements:

GEN946 The System will post FAD to a self-service area.

GEN948 The System will store the date when the FAD is posted on the self-service area.

GEN949 The System will record the date when the institution views FAD on the self-service area.